

Implementing file plans.

Definitions:

FILE PLAN. (1) See FILING SYSTEM. (2) A plan designating the physical location(s) at which an Agency's files are to be maintained, the specific types of files to be maintained there, and the organizational element(s) having custodial responsibility. (3) A document containing the identifying number, title or description, and disposition of files held in an office.

FILING SYSTEM. A set of policies and procedures for organizing and identifying files or documents to speed their retrieval, use, and disposition. Sometimes called recordkeeping system.

The Benefits of File Plans:

File plans help you maintain intellectual control of your office records. A file plan is merely a list of (1) the official records being kept in an individual office or central file area (NOT a file-by-file list), (2) the location of the records, (3) name of the person that maintains them, and (4) the retention period and final disposition of the records. File plans can also include locations of electronic record series and authorized duplicate record areas.

Office File Plan Requirements:

The files custodian for each official file station should prepare an Office File Plan identifying all files maintained at that station.

- a. Office File Plans are prepared to make filing and reference service easier and to assist in training new personnel.
- b. The file plan can be developed by matching the current records holdings of the files station against the records retention schedule. Select only the items from the schedule which apply to those files series actually kept at that station.

Each file series kept at the station should be listed on the plan. All file folders should be maintained in the file drawers or on shelves in the same order in which they appear in the plan.

- c. The Office File Plan should be updated when significant changes occur.

Samples of File Plans

NRDD File Plan ** Fiscal Year 2001

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<i>File Code</i>	<i>Elec</i>	<i>Description</i>	<i>Location (if not general)</i>	<i>Retention</i>
POLICY AND PROCEDURE				
103-3	*	External Directives case files.	Binders, general file area	Superseded/obsolete
	*	103-3a NARA Field bulletins		
	*	103-3b Field bulletins issued by NRDD		
104-1b	*	Policy Directives		No longer needed
105-2	*	Numbered memos from NARA, response to NARA <i>Electronic numbered memos available at http://staffonly.nara.gov/notices/</i>	Incoming memos and NRDD responses in binder, general files area	No longer needed
106-1	*	Numbered memos — NRDD. Master set.	Binder, general file area	Superseded/obsolete
106-2b	*	Numbered memos from NR, response to NR <i>Electronic numbered memos available at http://staffonly.nara.gov/nr/</i>	Incoming memos and NRDD responses in binder, general files area	No longer needed
106-2c	*	Numbered memos from NR Records management, response to NR	RM Ops	No longer needed
106-2d	*	Notifications/memos from NRD, response to NRD		
106-2e	*	Notifications/memos from NW, various units		No longer needed
106-2f	*	Policy issues addressed in non-memo e-mails (incoming and reply)		No longer needed
109-2b	*	Disposal contract		7 years
113-2		Quarterly Reports		2 years
		113-2a NR		
		113-2b Other NARA units		

File	Records Title	Custodian	Date Span / Volume	Disposition Authority	Access	Remarks
1580	Grants & Agreements	Budget & Finance Shop Engineering	Current 4 cu ft, prior year 1 cu ft	10 years		Four boxes of prior year records are in the shop. Consider shipping to FRC. Engineering has grants are any of these duplicates? Who maintains official file?
2230-3	Grazing Permits	Basement File Room	1984-2000 10 cu ft	75 years after file is closed		Close dates are on file. Consider shipping to FRC.
2360-1	Special Interest Areas (SIA) Policy and Direction		5 cu ft	Permanent		Send to FRC when 10 years old. Offer to NARA when 20 years old.
2720	Special Uses	Basement file room Shop	46 cu ft 30 cu ft	Permanent. Keep current Transfer to NARA 5 years after case file is closed		NOTE: Find out what other offices are doing. Sometimes you can cut project files off in 10 year increments and ship.
6150 3-6	Payroll records T&A preparation	Personnel	93 – present	3 years	Privacy Act	Destroyed 93-97
6310	Purchasing (PCMS) VISA purchase card account files	Budget & Finance All Credit Card Holders		3 years	Privacy Act GSA/ GOVT-3	Credit card holders need to keep receipts and invoices for 3 years.

National Archives & Records Administration

Rocky Mountain Region

Item	Description	Location	Dates	Schedule #	Recommended Action
1.	PMS (Performance Management System) case files. Ratings on NARA—RMR employees. <i>(Note: These contain potential Privacy Act information, yet they are maintained 'out in the open').</i>	North Stairwell - Rose Room, and Supply Room.	1999 & prior, various years	NARA 203 CHG 6 305-4 3 years <i>(This series is not on the NRG file plan).</i>	1. Destroy records closed 1996 and prior. 2. Destroy 1997 in January 2001. 3. Retain files closed in 1998 and later: either retire into records center with sealed boxes, or store in vault.
2.	Mission and Administrative files created by the A/O and Center Secretary.	North Stairwell - Rose Room	FY93	NARA 203 CHG 6 (various mixed series) file codes 100-1300	1. Someone needs to go through the files vs. the codes in the schedule to ensure there are not permanent or long-term (screen). Determine disposal date for all boxes. 2. Transfer closed records to the records center via SF-135.
3.	NARS5 completed data entry forms	Accession Area - Supply cabinet	1990's	NARA 203 CHG 6 1326-1 (1 year)	Destroy inputs older than one year and save those less than a year old. Keep records in proper equipment marked with the file code and disposition instructions in the A&D office.
4.	Space inventory and planning files and FRC Space Projection files	Accession Area - Supply cabinet, and South Stairwell - Rose Rm. (above A&D	1970's through 1990's	NARA 203 CHG 6 602-1 (2 years or when no longer needed)	RA and ARA screen any records needed for future reference. Destroy the rest.

RMI Pilot – NRG-Administrative records

Big Bucket	Sub-category	Proposed new Retention	Location of the records	Former File Code	Series Title from RCS	Disposition from RCS	Comments
Administrative	Procurement	3-5 Years--or when no longer needed for Administrative use	NEWHOUSE	519-1a2	General Procurement Files – Visa Card Purchases – 1 st Qtr (All Funds)	Place in inactive files on final payment. Cut off inactive files annually. Destroy 3 years after final payment. (GRS 3, item 3a (1)(b))	
Administrative	Procurement	3-5 Years--or when no longer needed for Administrative use	NEWHOUSE	519-1a2	General Procurement Files – Visa Card Purchases – 2 nd Qtr (All Funds)	Place in inactive files on final payment. Cut off inactive files annually. Destroy 3 years after final payment. (GRS 3, item 3a (1)(b))	
Administrative	Procurement	3-5 Years--or when no longer needed for Administrative use	NEWHOUSE	519-1a2	General Procurement Files – Visa Card Purchases – 3 rd Qtr (All Funds)	Place in inactive files on final payment. Cut off inactive files annually. Destroy 3 years after final payment. (GRS 3, item 3a (1)(b))	
Administrative	Procurement	3-5 Years--or when no longer needed for Administrative use	NEWHOUSE	519-1a2	General Procurement Files – Visa Card Purchases – 4 th Qtr (All Funds)	Place in inactive files on final payment. Cut off inactive files annually. Destroy 3 years after final payment. (GRS 3, item 3a (1)(b))	
Administrative	Procurement	3-5 Years--or when no longer needed for Administrative use	NEWHOUSE	519-1a2	General Procurement Files – Wastepaper Disposal Contract NAMA-01-M-0053, Mod P0001	Place in inactive files on final payment. Cut off inactive files annually. Destroy 3 years after final payment. (GRS 3, item 3a (1)(b))	
Administrative	Procurement	3-5 Years--or when no longer needed for Administrative use	CENTRAL FILES	516	Procurement Number Assignment Control – ACT # Register	Cut off annually. Destroy when 2 years old. (NI-64-87-1)	
Administrative	Procurement	3-5 Years--or when no longer needed for Administrative use	CENTRAL FILES	516	Procurement Number Assignment Control – Pegasys # Register	Cut off annually. Destroy when 2 years old. (NI-64-87-1)	